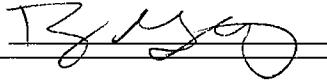


CERTIFICATE OF EFS FILING UNDER 37 CFR §1.8

I hereby certify that this correspondence is being electronically transmitted to the United States Patent and Trademark Office, Commissioner for Patents, via the EFS pursuant to 37 CFR §1.8 on the below date:

Date: October 8, 2010 Name: Ryan Gleitz, Reg. No. 62,164 Signature: 

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Appln. of: James Farrell et al.

Appln. No.: 10/713,126

Filed: November 14, 2003

For: SYSTEM AND METHOD FOR  
CONTROLLING MARKETS DURING A  
STOP LOSS TRIGGER

Attorney Docket No.: 4672/310

Examiner: Weis, Samuel

Art Unit: 3695

Conf. No.: 9585

**FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure under 37 CFR §1.56 and §§1.97-1.98, and more particularly in accordance with 37 CFR §1.97(c), Applicants hereby cites the following reference:

**OTHER ART – NON PATENT LITERATURE DOCUMENTS**

Office Action dated August 8, 2010 in related Japanese Patent Application No. 20026-521123  
(3 pages)

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 CFR §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 CFR §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 CFR §1.56(a).

The Applicants certify under 37 CFR §1.97(e)(1) that each item of information in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement (a copy of any foreign communication first citing a listed reference is attached for the Examiner's reference). Accordingly, Applicants have calculated no fee to be due in connection with the filing of this Information Disclosure Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Information Disclosure Statement to a deposit account, as authorized in the Transmittal accompanying this Information Disclosure Statement.

Respectfully submitted,

October 8, 2010  
Date

  
Ryan Gleitz, Reg. No. 62,164